

Substitute for form 1449A/PTO		Complete if Known			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (use as many sheets as necessary)		Application Number	10/796,413		
		Filing Date	March 10, 2004		
		First Named Inventor	Duan		
		Art Unit	2891		
		Examiner Name	Matthew Reames		
Sheet		of		Attorney Docket Number	01-004100



U.S. PATENT DOCUMENTS					
Examiner Initials	Cite No.	Document No.	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, lines, Where Relevant Passages or Relevant Figures Appeal
		Number - Kind Code (if known)			
	AA	US-5,714,766	02-03-1998	Chen et al.	
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	AC	US-6,054,349	04-25-2000	Nakajima et al.	
	AD	US-6,090,666	07-18-2000	Ueda et al.	
	AE	US-6,139,626	10-31-2000	Norris et al.	
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	AG	US-6,207,229	03-27-2001	Bawendi et al.	
	AH	US-6,297,095	10-02-2001	Muralidhar et al.	
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	AN	US-6,670,670	12-30-2003	Chae et al.	
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	AQ	US-20040130941	07-08-2004	Kan et al.	
	AR	US-20050072989	04-07-2005	Bawendi et al.	

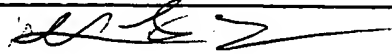
FOREIGN PATENT DOCUMENTS						
Examiner Initials	Cite No.	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Country Code - Number - Kind Code (if known)				
	AS	WO-0103208	01-11-2001	Harvard		
	AT	WO-0217362	02-28-2002	Harvard		
	AU	WO-0248701	06-20-2002	Harvard		
	AV	WO-2005017962	02-24-2005	Nanosys		

Examiner Signature		Date Considered	10/26/06
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and-or country where published.		T
	AW	ATWATER, H.A. "Silicon nanoparticle engineering for novel logic and memory applications" Project Overview, Functional Nanostructures Program, NSF (January 2001)		
	AX	BELL, L.D. et al., "A Radiation-tolerant, low-power non-volatile memory based on silicon nanocrystal quantum dots" Innovative Approaches to Outer Planetary Exploration 2001-2020 (Publication date unknown)		
	AY	BODEFIELD, M.C. et al., "Storage of electrons and holes in self-asssembled InAs quantum dots" <i>Appl. Phys. Lett.</i> (1999) 74(13):1839-1841		
	AZ	CASPERSON, J.D. et al., "Materials issues for layered tunnel barrier structures" <i>J. Appl. Phys.</i> (2002) 92(1):261-267		
	BA	CHAE, D-H et al., "Nanocrystal memory cell using high-density SiGe Quantum Dot Array" <i>J Kor. Phys. Soc.</i> (1999) 35:S995-S998		
	BB	CORSO, D. et al., "Localized Charge storage in nanocrystal memories: feasibility of a multi-bit cell" (Publication and Publication date unknown)		
	BC	DE BLAUWE, J. "Nanoparticle Nonvolatile Memory Devices," <i>IEEE Trans. Nanotechnology</i> (2002) 1:72		
	BD	DREXLER, H. et al., "Spectroscopy of quantum levels in charge-tunable InGaAs quantum dots" <i>Phys. Ref. Lett</i> (1994) 73:2252-2255		
	BE	IANNACCONE, G. et al., "Simulation of a quantum-dot flash memory," <i>J. Appl. Phys.</i> (1998) 84(9):5032-5036		
	BF	KAN, E. "Technology for self-assembled entities in logic and memory units below the lithography limit" Cornell Nanoscale Facility (Publication date unknown)		
	BG	TAKATA, M. et al. "Fundamental characteristics of new non-volatile memory with extremely high density metal quantum dots" (Publication and Publication Date unknown)		
	BH	TIWARI, S. et al., "Volatile and Non-Volatile Memories in Silicon with Nano-Crystal Storage," <i>IEDM</i> (1995) 95-521		
	BI	TIWARI, S. et al., "A silicon nanocrystals based memory" <i>Appl. Phys. Lett</i> (1996) 68(10):1377-1379		
	BJ	VAMPOLA, K. et al., "Growth and Characterization of metal nanocrystals" Cornell Nanofabrication Facility (Publication date unknown)		
	BK			
	BL			

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